

APPLICANT OR PATENTEE: Shojiro KAWAKAMI et. al.

SERIAL NO. OR PATENT NO.: \_\_\_\_\_

FILED OR ISSUED: September 29, 1999TITLE: THREE-DIMENSIONAL PERIODIC STRUCTURE, ITS FABRICATION METHOD,  
AND METHOD OF FABRICATING FILMVERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled: THREE-DIMENSIONAL PERIODIC STRUCTURE, ITS FABRICATION METHOD, AND METHOD OF FABRICATING FILM described in:

- [ ] The specification filed herewith  
[ x ] Application Serial No. \_\_\_\_\_, filed September 29, 1999.  
[ ] Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- [ ] no such person, concern, or organization  
[ x ] persons, concerns, or organizations listed below \*

\* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME: Shojiro KAWAKAMI  
ADDRESS: Atagobashi Mansion Pharaoh C-09, 236, Tsuchitoi, Wakabayashi-ku, Sendai-shi,  
Miyagi-ken 984-0065 JAPAN  
[ x ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NON PROFIT ORG.

FULL NAME: AutoCloning Technology Inc.  
ADDRESS: Atagobashi Mansion Pharaoh C-09, 236, Tsuchitoi, Wakabayashi-ku, Seniai-shi,  
Miyagi-ken 984-0065 JAPAN  
[ ] INDIVIDUAL [ x ] SMALL BUSINESS CONCERN [ ] NON PROFIT ORG.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Shojiro Kawakami  
Shojiro KAWAKAMI

October 21, 1999  
DATE

Hiroyuki Sakaki  
Hiroyuki SAKAKI

Dec 20, 1999  
DATE

Kazuo Shiraishi  
Kazuo SHIRAISHI

November 19, 1999  
DATE

APPLICANT OR PATENTEE: Shojiro KAWAKAMI et. al.

SERIAL NO. OR PATENT NO. \_\_\_\_\_

FILED OR ISSUED: September 29, 1999

TITLE: THREE-DIMENSIONAL PERIODIC STRUCTURE, ITS FABRICATION METHOD, AND METHOD OF FABRICATING FILM

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: AutoCloning Technology Inc.

ADDRESS OF CONCERN: Atagobashi Mansion Pharaoh C-09, 236, Tsuchitoi,  
Wakabayashi-ku, Seniai-shi, Miyagi-ken 984-0065 JAPAN

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled: THREE-DIMENSIONAL PERIODIC STRUCTURE, ITS FABRICATION METHOD, AND METHOD OF FABRICATING FILM by inventor(s) Shojiro KAWAKAMI, Hiroyuki SAKAKI, and Kazuo SHIRAISHI described in:

- ☐ the specification filed herewith.  
☒ Application Serial No. \_\_\_\_\_, filed September 29, 1999.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by an concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME: Shojiro KAWAKAMI

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☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

FULL NAME: AutoCloning Technology Inc.

ADDRESS: Atagobashi Mansion Pharaoh C-09, 236, Tsuchitoi, Wakabayashi-ku, Seniai-shi,  
Miyagi-ken 984-0065 JAPAN

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Shoichi Ueno

TITLE OF PERSON OTHER THAN OWNER: President

ADDRESS OF PERSON SIGNING: Atagobashi Mansion Pharaoh C-09, 236, Tsuchitoi,  
Wakabayashi-Ku, Sendai-shi, Miyagi-Ken 984-0065 JAPAN

SIGNATURE: Shoichi Ueno DATE: October 28, 1999





PCT/USA NATIONAL DECLARATION AND POWER OF ATTORNEY  
FOR U.S. PATENT APPLICATIONS  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER 35 U.S.C. SECTION 371(c)(4)

As a below named inventor, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to my name:

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the invention described and claimed in international application No. PCT/JP98/01278 entitled: THREE-DIMENSIONAL PERIODIC STRUCTURE, ITS FABRICATION METHOD, AND METHOD OF FABRICATING FILM and as amended on \_\_\_\_\_ (if any), which I have reviewed, and I understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above and for which I solicit a patent; that I do not know and do not believe that this invention was ever known or used in the United States of America before my or our invention or discovery thereof, or patented or described in any printed publication in any country before my or our invention or discovery thereof, or more than one year prior to my international application; that this invention was not in public use or on sale in the United States of America for more than one year prior to my international application; that this invention has not been patented or made the subject of an inventor's certificate issued before the date of my international application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months before my international application; that I acknowledge my duty to disclose information of which I am aware which is material to the examination of this application; and that prior to filing said international application, applications for patent or inventor's certificate on this invention of discovery which have been filed by me or my legal representatives or assigns in any country foreign to the United States of America are as follows:

(a) none filed more than 12 months prior to said international application, unless named below:

(b) earliest filed less than 12 months prior to said international application (the priority of which is hereby claimed under 35 U.S.C. Section 365):

Japanese Patent Application No. 9/114951 Filed March 29, 1997

Japanese Patent Application No. 10/40736 Filed February 23, 1998

I hereby claim the benefit under Title 35, United States Code, §120, of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a), which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

(Application Serial No.)

(Filing Date)

(Status)(patented, pending, abandoned)

I hereby appoint Randall J. Knuth, Regis. No. 34,644 and Victor F. Lohmann, III, Regis. No. 33,951 of the firm of RANDALL J. KNUTH, P.C., as attorney(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SEND CORRESPONDENCE TO:

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Inventor's Signature Shojiro Kawakami Date October 21, 1999

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Signature of Inventor T. Hiroyuki Sakakura Date Dec. 20, 1949

Residence Saitama-ken JAPAN SPX Citizenship Japanese

Signature of Inventor Kazuo Ushiki Date November 19, 1999

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